

**U.S. Department of Energy**  
**Performance Management Checklist for Managers/Rating Officials**

As a manager/rating official, you are held accountable for performing a number of activities to ensure the performance management system functions effectively and efficiently. The following checklist identifies major tasks for which you are responsible and presents them in the order which they should be completed. In the near future, the Office of Human Capital Management will provide a detailed description of these responsibilities in a “DOE Performance Management Guide for Evaluating Employees.” Offices with Collective Bargaining Agreements (CBA) must comply with their local CBA.

**Step 1: DEVELOPING PERFORMANCE PLAN** (All activities outlined in Step 1 must be completed within the first 30 days of a new performance period.)

**Specify Critical Elements and Standards**

- Meet and discuss critical elements and performance standards covering job performance and employee attributes
- Develop new elements in accordance with the employee’s current position description and work assignments
- Required forms
  - Current position description
  - Existing or new performance plan

**Share and Discuss the Plan with the Employee**

- Share the initial performance plan during a timely discussion of content; provide the employee an opportunity to give input
- Ensure the employee understands the expectations for performance (deliverables) and how the employee’s performance will be assessed
- Complete the applicable appraisal form to document the critical elements and performance standards
- Ensure the performance standard for each critical element is written at the “Meets Expectations” level of performance

**Finalize the Performance Plan with the Employee**

- Rating official and employee reach the same understanding of the performance expectations, the performance standards, and how the standards will be used to assess the employee’s performance
- Both the rating official and the employee should sign and date the performance plan which serves as a contract between the two, outlining expectations for the performance rating cycle; the employee’s signature acknowledges understanding and receipt of the performance appraisal form
- Rating official maintains the original signed performance plan and provides a copy to the employee

**Step 2: MONITORING PROGRESS** (Progress reviews are conducted at the midpoint of the performance period or as specified by the Departmental Element’s policy.)

**Observe and Document Behavior during Performance Period**

- Document observations throughout the performance period to aid in completing the mandatory progress review(s) and the annual appraisal
- Identify accomplishments and work products completed to date that meet expectations specified in the performance plan
- Complete the applicable performance appraisal form to document observations

**Provide Feedback and Ongoing Coaching to Employee**

- Focus on performance as it relates to the goals and missions of DOE and the employee's progress toward achieving the critical elements
- Conduct formal progress review(s)
- Note areas of significant achievements or those that may fall below an acceptable level of performance
- Identify opportunities and means for improving performance
- Encourage employee to communicate as early as possible if a performance expectation can not be achieved or met within the specified timeframe
- Consult Labor/Employee Relations Specialist regarding a performance rating of "Needs Improvement" or "Fails to Meet Expectation" to solicit assistance in formulating a course of action
- Complete the applicable performance appraisal form to document the progress review(s)

**Discuss Applicability or Required Changes to Critical Elements with Employee**

- Contact servicing human resources office for guidance if:
  - A critical element must be revised due to changes in work priorities, availability of resources, or any factor that may impede the employee's ability to achieve an acceptable level of performance or desired deliverable
  - DOE's missions, strategic business goals, or business plans change
  - Employee's control over factors which influence performance and achievement of critical elements changes

**STEP 3: EVALUATING PERFORMANCE****Request Performance Input**

- Provide employee an opportunity to submit pertinent performance information for consideration by rating official

**Consider Feedback from Other Sources:** Team leads, peers, customers

**Complete Performance Appraisal**

- Assess overall performance by considering:
  - Performance against the critical elements (job performance and employee attributes)
  - Team assignment and contributions to work groups
  - Achievements for special projects
- Assign a summary rating
- Complete the applicable performance management form to calculate the critical element scores and the overall summary rating

**Conduct Appraisal Meeting with Employee**

- Discuss accomplishments and overall performance
- Focus on future actions based on lessons learned
  - Jointly formulate possible:
    - Adjustments to critical elements or standards
    - Developmental assignments
    - Training opportunities
    - Mentoring programs
- Sign and date appraisal form
- Complete the applicable performance appraisal form to acknowledge the discussion, issuance, and receipt of the overall summary rating